

Grant Pre-award Phase - Roles and Responsibilities

Area	GATU	State Awarding Agency	Grantee
<i>Pre-Qualification</i>	<ol style="list-style-type: none"> 1) Create and maintain web based Grantee Portal for grantee pre-qualification 2) Through grantee portal registration process, automate grantee qualification notification <ol style="list-style-type: none"> a. Non-qualification (no ability to remediate; provide reason) b. Non-qualification with instructions for remediation c. Qualification 3) Provide training and instruction to complete pre-qualification 4) Complete Grant Policy Manual 	<ol style="list-style-type: none"> 1) Ensure grantee has completed pre-qualification prior to making a grant award 2) Under Notice of State Award Finalist, inform grantee of requirement to complete pre-qualification (primarily an FY17 issue) 	<ol style="list-style-type: none"> 1) Complete registration and pre-qualification on the grantee portal 2) Promptly remediate issues when notified
<i>Fiscal and Administrative Risk Assessment (ICQ)</i> <i>(Completed <u>once</u> , <u>annually</u> for the <u>entity</u>)</i>	<ol style="list-style-type: none"> 1) Create risk assessment questionnaire and system for grantee input and data collection 2) Develop a grantee risk profile 3) Provide training and instructions for completion of the ICQ 4) Provide training and instructions for State agencies 5) Complete Grant Policy Manual 	<ol style="list-style-type: none"> 1) Ensure the grantee has completed F&A risk assessment prior to making an award 2) Under Notice of State Award Finalist, inform grantee of requirement to complete Fiscal and Administrative Risk Assessment (applicable for small grantees and new grantees) 3) Provide prior performance for fiscal and administrative risk factors to complete grantee risk profile 	<ol style="list-style-type: none"> 1) Complete the F&A risk assessment prior to receiving an award
<i>Fiscal and Administrative Specific Conditions</i>	<ol style="list-style-type: none"> 1) Standardize specific conditions based on results of the risk assessment 2) Provide an automated system for the grantee completion of the risk assessment questionnaire 	<ol style="list-style-type: none"> 1) Include F&A specific conditions to the Notice of State Award 2) Monitor and enforce compliance with the specific conditions 3) Provide assessment of corrective action for specific conditions, 	<ol style="list-style-type: none"> 1) Comply with the specific conditions, if any 2) Submit a corrective action plan for risk issues identified 3) Implement corrective action

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	<ul style="list-style-type: none"> 3) Prepare results and corresponding specific conditions for awarding agencies 4) Create policies and procedures for removing specific conditions when corrective action is implemented to correct the risk issue 5) Complete Grant Policy Manual 	<ul style="list-style-type: none"> issue management decision to grantee 4) Follow up and document review of the request for reconsideration of specific condition 5) <u>Cognizant Agency</u> – provide assessment of F&A corrective action for specific conditions, issue management decision to grantee 6) Remove specific condition for effective implementation of corrective action 	<ul style="list-style-type: none"> 4) Once time parameter requirement is met, submit documentation for desk review and/or request site visit for verification of effective implementation of corrective action for reconsideration of specific condition
<i>Notice of Funding Opportunity (NOFO)</i>	<ul style="list-style-type: none"> 1) Create Uniform Notice template with section-specific instructions 2) Provide training to state agencies 3) Inform grantees that the NOFO will be the state's vehicle for announcing all <u>competitive</u> grant funding opportunities 4) Inform agencies that the NOFO will reside on their website until the grants.illinois.gov is functional 5) Once grants.illinois.gov is functional, automate process of NOFO completion through use of CSFA 6) Complete Grant Policy Manual 	<ul style="list-style-type: none"> 1) Prepare NOFO and publish on the agency's website until grants.illinois.gov is operational 2) Publication must be in accordance with uniform and specific grant requirements. Competitive grants must be published at least 45 days prior to the due date. (<u>Request exception if needed.</u>) 3) Work with GATU if changes are needed to the posted Notice 	<ul style="list-style-type: none"> 1) Refer to the Notice of Funding Opportunity for detail about grant funding opportunities 2) Link to the agency application from the NOFO
<i>Application Content</i>	<ul style="list-style-type: none"> 1) Create Uniform Grant Application 	<ul style="list-style-type: none"> 1) Prepare the application 	<ul style="list-style-type: none"> 1) Complete the application and all agency-specific requirements in accordance with the NOFO

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	<ul style="list-style-type: none"> 2) Introduce the application to state agencies, provide training and instruction as needed 3) Inform grantees of the uniform application 4) Develop dynamic e-form for completion of the Grant Application 5) Complete Grant Policy Manual 	<ul style="list-style-type: none"> 2) Identify all agency-specific content required as part of the solicitation 	<ul style="list-style-type: none"> 2) Submit the application and all agency-specific requirements following the awarding agency's protocol
<i>Application Budget</i>	<ul style="list-style-type: none"> 1) Create standardized budget template 2) Create instructions for the Budget Template 3) Provide training on how to complete the budget template 4) Provide training to state agencies on how to review a budget 5) Create electronic form for the budget 6) Complete Grant Policy Manual 	<ul style="list-style-type: none"> 1) Perform a programmatic review of application budget 2) Perform a fiscal and administrative review of application budget 3) Review grantee's negotiated Indirect Cost Rate Agreement (NICRA) and ensure its applied properly to budget <ul style="list-style-type: none"> a. If the grantee does not have a NICRA, use the 10% de minimis rate (if eligible) b. Reconciliation may be required if the final NICRA differs from the initial rate c. <u>See Negotiating Indirect Cost Rate Section</u> 4) Approve budget 5) Identify, review and approve budget revisions 	<ul style="list-style-type: none"> 1) Ensure appropriate grantee staff are trained for completing the budget 2) Properly complete all applicable sections of the budget 3) Understand basic considerations and selected items of cost (direct/indirect allowability) 4) Use negotiated Indirect Cost Rate Agreement (NICRA) percentage accurately <ul style="list-style-type: none"> a. If the grantee does not have a NICRA, use the 10% de minimis rate (if eligible) b. Reconciliation may be required if the final NICRA differs from the initial rate c. See Negotiating Indirect Cost Rate Section 5) Certify
<i>Application Posting</i>	<ul style="list-style-type: none"> 1) Once the NOFOs are centralized on grants.illinois.gov: <ul style="list-style-type: none"> a. Maintain links to applications from the NOFO 	<ul style="list-style-type: none"> 1) Maintain the application link to the NOFO throughout the posting duration 2) Receive completed applications 	

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	b. Notify agency of broken link		
<i>Application Submission</i>		<ol style="list-style-type: none"> 1) Provide application support as specified in the NOFO 2) Record date and time of receipt of each application 	<ol style="list-style-type: none"> 1) If grantee meets the eligibility requirements and wants to apply for the grant, link to the agency application 2) Complete the required information and submit the required forms per the agency's instructions
<i>Merit based review</i>	<ol style="list-style-type: none"> 1) Create standardized Merit Based Review policy including appeal process 2) Create Confidentiality and Conflict of Interest Disclosure form for competitive grant evaluation 3) Provide training to State agencies on Merit Review Process 4) Complete Grant Policy Manual 	<ol style="list-style-type: none"> 1) Ensure Merit Based Review process is followed for <u>competitive</u> grants 2) Ensure Conflict of Interest is disclosed and addressed 3) Ensure award determination is based on Merit Based Review and Finalist requirements 4) Maintain file with award determination documentation 	<ol style="list-style-type: none"> 1) Comply with Merit Based review award determination and any stated specific conditions
<i>Programmatic Risk (Completed for each grant)</i>	<ol style="list-style-type: none"> 1) Create programmatic risk assessment questionnaire and system for grantee input 2) Develop a grantee risk profile 3) Develop process flow for applicant and agency utilization of the programmatic risk assessment questionnaire (ultimately Teammate software) to conduct the programmatic risk assessment and evaluate programmatic risk responses 	<ol style="list-style-type: none"> 1) Ensure the applicant has completed the programmatic risk assessment prior to making an award 2) Support the applicant completing the programmatic risk assessment questionnaire 3) Evaluate the degree of programmatic risk posed by the applicant 4) Agree to the special conditions imposed from the programmatic risk assessment 	<ol style="list-style-type: none"> 1) Complete the programmatic risk assessment prior to receiving an award

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	<ul style="list-style-type: none"> 4) Where possible, automate the risk calculation based on grantee responses 5) Provide guidance to state agencies to evaluate the risk on open-ended questions 6) Complete Grant Policy Manual 		
<i>Programmatic Risk Specific Conditions</i>	<ul style="list-style-type: none"> 1) Standardize the specific conditions based on the results of the risk assessment 2) Develop the special condition parameters linked to programmatic risk profiles 3) Create a system-generated report of the grantee's risk profile and corresponding specific conditions for the agency 4) Complete Grant Policy Manual 	<ul style="list-style-type: none"> 1) Evaluate grantee responses to open-ended questions on the programmatic risk assessment 2) Enter risk values for open-ended questions; final report will be based on cumulative risk profile 3) Include programmatic risk assessment specific conditions to the Notice of State Award 4) Monitor and enforce compliance with the specific conditions 	<ul style="list-style-type: none"> 1) Comply with the specific conditions, if any 2) Request removal of specific conditions, if applicable
<i>Notice of State Award Finalist</i>	<ul style="list-style-type: none"> 1) Create the Uniform Notice of State Award Finalist template 2) Finalize the Uniform Conflict of Interest and Mandatory Disclosure document 3) Provide instructions / training to agencies on completing the Notice of State Award Finalist <ul style="list-style-type: none"> a. Specify how the agency verifies if the applicant completed the pre-qualification, F&A ICQ 4) Complete Grant Policy Manual 	<ul style="list-style-type: none"> 1) Complete the Uniform Notice of State Award Finalist marking the outstanding grant award requirements of the finalist 2) Distribute the Notice of State Award Finalist to the applicant 3) Conduct follow-up as necessary while the applicant completes the outstanding grant award requirements 	<ul style="list-style-type: none"> 1) Complete the outstanding grant award requirements as stated on the Notice of State Award Finalist 2) Or, alert the awarding agency that the applicant is withdrawing from the grant award process

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<i>Notice of State Award (NOSA)</i>	<ol style="list-style-type: none"> 1) Create the Uniform NOSA Template 2) Provide instructions/training to agencies on completing the NOSA 3) Complete Grant Policy Manual 	<ol style="list-style-type: none"> 1) Complete the Uniform NOSA 2) Ensure a copy of the completed NOSA is included in the Grant Agreement 	<ol style="list-style-type: none"> 1) Review the NOSA to ensure the applicant understands and accepts grant terms and special conditions 2) Sign and return the NOSA to the awarding agency. (The grant will not be awarded if the applicant does not accepted the terms of the NOSA.)
<i>Grant Agreement</i>	<ol style="list-style-type: none"> 1) Create the Uniform Grant Agreement template 2) Provide instructions for completion to appropriate personnel within the agency 3) Complete Grant Policy Manual 	<ol style="list-style-type: none"> 1) Complete the Agreement, including cross references and Exhibits, ensuring consistency with previous Notices 2) Ensure Exhibit H – Special Conditions includes all specific conditions previously determined applicable 4) Attach the final, approved budget and NOSA 5) Execute the Agreement with the grantee signature 	<ol style="list-style-type: none"> 1) Sign and submit the Agreement to the awarding agency 2) Comply with the terms of the executed Agreement
<i>Negotiating Indirect Cost Rate</i>	<ol style="list-style-type: none"> 1) Centralize Indirect Cost Rate Review and Negotiations for Agencies (Vendor and system) 2) Centralize billing for agencies 3) Assist with <u>Cognizant State Agency</u> with monitoring and appeals 4) Support Vendor who will provide training to agencies and grantees 5) Maintain listing of current NICRAs 	<ol style="list-style-type: none"> 1) Notify grantees of NICRA requirements and assist with timeliness of submissions 2) <u>COGNIZANT STATE AGENCY</u> will assist in final approval of rate recommended and submitted by Vendor 3) <u>COGNIZANT STATE AGENCY</u> will be involved in appeal notices or hearings resulting from the indirect cost rate negotiation process 	<ol style="list-style-type: none"> 1) Year 1 - To claim Indirect cost reimbursement, grantee must either: <ol style="list-style-type: none"> a. Submit a copy of the federal rate agreement (NICRA) to the Vendor and <u>use immediately</u>, b. Submit Indirect Cost Rate Proposal (ICRP) to the Vendor <u>within 90 days of grant award</u>. Grantee will be able to claim indirect cost

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	<ul style="list-style-type: none"> 6) Assist with exceptions, provisions, limits, restrictions 7) Complete Grant Policy Manual 	<ul style="list-style-type: none"> 4) Apply and monitor negotiated rate to award 5) Reimburse indirect costs once rate is approved. 6) If NO rate is negotiated or elected by the grantee, the agencies must ensure no indirect costs are reimbursed 7) Maintain, develop and provide exceptions, provisions, limits and restrictions regarding to Indirect cost reimbursement (if applicable) 8) Include the exceptions, provisions, limits and restrictions regarding indirect cost reimbursement on the NOFA, application, NOSA, agreement etc. (if applicable) 9) Attend training on Indirect Costs and types of Negotiated Indirect Cost Rate Agreements 	<ul style="list-style-type: none"> reimbursement once approved (3-6 mos). c. <u>If eligible</u>, elect the 10% de minimis (MTDC) and <u>use immediately</u>. De minimis rate may be used indefinitely or until an indirect cost rate is <u>negotiated</u>. d. Use “special rate” designated by federal statute <u>immediately</u>. e. OR receive NO indirect cost reimbursement 2) Subsequent Years <ul style="list-style-type: none"> a. Submit a copy of the federal rate agreement to the Vendor b. Submit an Indirect Cost Rate Proposal (ICRP) to the Vendor within 6 months of the close of the grantee’s fiscal year. (Continue to use initial or current rate until new rate is negotiated.) c. Certify and continue to use of the 10% de minimis (MTDC) d. Continue to use rate designated by program rules e. OR receive NO indirect reimbursement 3) Attend training on indirect cost rates and negotiation process 4) Certify type of indirect cost rate on budget template

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<i>Establishing Exceptions to GATA / Uniform Guidance Requirements</i>	<ol style="list-style-type: none"> 1) Inform agencies that statutory requirements may allow exceptions to Uniform Guidance requirements 2) Instruct agencies to research agency / programmatic statutory requirements and submit requests for exception(s) 3) Provide technical assistance to agency personnel documenting exceptions 4) Submit completed requests for exceptions to the Governor's Compliance Office 5) Notify agencies in writing of Compliance Office response to exception(s) requests 	<ol style="list-style-type: none"> 1) Research applicable statutes and regulations to determine where Uniform Guidance exceptions have been granted 2) Submit to GATU the statutory reference granting an exception 3) If a statutory reference cannot be obtained, contact an authoritative source from the Federal awarding agency and obtain written approval for a specified exception 4) Submit completed exception request to GATU along with the applicable citation and/or the written authorization from the Federal awarding agency 5) Receive written response to the exception request from GATU 6) Apply the exception to the applicable program 7) Upon written approval, include exception(s) in the CSFA, NOFO (if applicable), and the grant agreement 	